



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
Filed : December 21, 2000  
For : INTEGRATED MONOLITHIC  
MICROFABRICATED  
ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:

RECEIVED  
DEC 08 2003  
TC 1700

STATEMENT OF GREGORY J. GALVIN ON BEHALF OF  
KIONIX, INC.

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:


1. I, Gregory J. Galvin, am the President and CEO of Kionix, Inc., located at 36 Thornwood Drive, Ithaca, New York 14850 and have the authority to act on behalf of Kionix, Inc.

2. As set forth in the assignment forms (copy enclosed), certain co-inventors of the above-identified patent have assigned their interests in the same to Kionix, Inc. The assignment from James E. Moon, Timothy J. Davis, and Gregory J. Galvin was recorded in the U.S. Patent and Trademark Office at Reel/Frame No. 011460/0741. The Memorandum Regarding Assignment of Patent was recorded with the U.S. Patent and Trademark Office at Reel/Frame No. 013922/0017.

3. Kionix, Inc., as a co-assignee, agrees to the requested correction of inventorship as set forth in the accompanying Petition for Correction of Inventorship in Patent under 37 C.F.R. § 1.324(a).

4. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the above-identified patent.

Date: 10-17-07

  
Gregory J. Galvin  
President and CEO  
36 Thornwood Drive  
Ithaca, New York 14850



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APRIL 09, 2001

PTAS

BROWN, PINNISI AND MICHAELS, PC  
MICHAEL F. BROWN  
400 M&T BANK BUILDING  
118 NORTH TIIOGA STREET  
ITHACA, NEW YORK 14850

RECEIVED

DEC 08 2003

TC 1700

\*101597995A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/18/2001

REEL/FRAME: 011460/0741  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MOON, JAMES E.

DOC DATE: 01/08/2001

ASSIGNOR:

DAVIS, TIMOTHY J.

DOC DATE: 01/08/2001

ASSIGNOR:

GALVIN, GREGORY J.

DOC DATE: 01/08/2001

ASSIGNEE:

KIONIX, INC.  
22 THORNWOOD DRIVE  
ITHACA, NEW YORK 14850

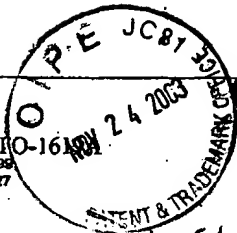
SERIAL NUMBER: 09745891  
PATENT NUMBER:

FILING DATE: 12/21/2000  
ISSUE DATE:

011460/0741 PAGE 2

TARA WASHINGTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-161  
Expires 08/30/99  
OMB 0651-0027



01-30-2001



101597995

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

- ☒ New  
☐ Resubmission (Non-Recordation)  
Document ID#   
☐ Correction of PTO Error  
Reel #  Frame #   
☐ Corrective Document  
Reel #  Frame #

**Conveyance Type**

- ☒ Assignment ☐ Security Agreement  
☐ License ☐ Change of Name  
☐ Merger ☐ Other   
**U.S. Government**  
(For Use ONLY by U.S. Government Agencies)  
☐ Departmental File ☐ Secret File

**Conveying Party(ies)**

- ☒ Mark if additional names of conveying parties attached  
Execution Date  
Month Day Year  
01/08/01

Name (line 1) James E. Moon

Name (line 2)

**Second Party**

Name (line 1) Timothy J. Davis

Execution Date  
Month Day Year  
01/08/01

Name (line 2)

**Receiving Party**

- ☐ Mark if additional names of receiving parties attached

Name (line 1) Kionix, Inc.

Name (line 2)

Address (line 1) 22 Thornwood Drive

Address (line 2)

Address (line 3) Ithaca

City

New York

State/Country

US

14850

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

01/29/2001 DRYRHE 00000585 05745891

01 FC:581

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FOR OFFICE USE ONLY

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**DEC 0 6 2009**  
**TC 1700**

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Correspondent Name and Address Area Code and Telephone Number (607) 256-2000

Name Brown, Pimmisi and Michaels, PC

Address (line 1) 400 M&T Bank Building

Address (line 2) 118 North Tioga Street

Address (line 3) Ithaca, New York 14850

Address (line 4)

Pages Enter the total number of pages of the attached conveyance document including any attachments. # 1

Application Number(s) or Patent Number(s) ☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

09/745,891

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved. # 1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:  
Deposit Account

Enclosed ☒

Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 02-0910

Authorization to charge additional fees:

Yes ☒

No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Michael F. Brown

Name of Person Signing

Signature

Date



## ASSIGNMENT AND AGREEMENT

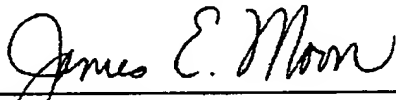
For value received, I, James E. Moon, of Ithaca in the State of New York and Timothy J. Davis, of Trumansburg in the State of New York and Gregory J. Galvin, of Ithaca in the State of New York, hereby sell, assign and transfer to Kionix, Inc., having an office at 22 Thornwood Drive, Ithaca, New York, 14850, and its successors, assigns and legal representatives (hereinafter referred to as the "Assignee"), the entire right, title and interest, for the United States of America, in and to certain inventions related to the **"INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD"** described in an application for Letters Patent of the United States, executed by me of even date here with, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and I also concurrently hereby sell, assign and transfer to Assignee the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

I authorize Assignee to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from me, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

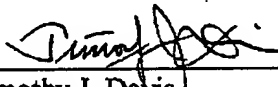
I hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Assignee to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

I request that any and all patents for said inventions be issued to Assignee in the United States and in all countries foreign to the United States, or to such nominees as Assignee may designate.

I agree that, when requested, I shall, without charge to Assignee, but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

  
James E. Moon

1/8/01  
Date

  
Timothy J. Davis

1/8/01  
Date

  
Gregory J. Galvin

1/8/01  
Date

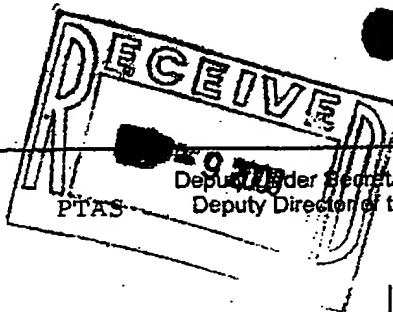




UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

SEPTEMBER 02, 2003

BROWN & MICHAELS PC  
MICHAEL F. BROWN  
400 M&T BANK BUILDING  
118 NORTH TIOGA STREET  
ITHACA, NY 14850



Deputy Under Secretary of Commerce For Intellectual Property and  
Deputy Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov



\*102413153A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/07/2003

REEL/FRAME: 013922/0017  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CALIENT OPTICAL COMPONENTS, INC.

DOC DATE: 03/18/2002

ASSIGNEE:

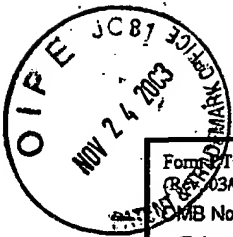
KIONIX, INC.  
36 THORNWOOD DRIVE  
ITHACA, NEW YORK 14850

SERIAL NUMBER: 09745891  
PATENT NUMBER: 6454938

FILING DATE: 12/21/2000  
ISSUE DATE: 09/24/2002

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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DEC 08 2003  
TC 1700



04-09-2003



102413153

Form TO-1595  
(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Callient Optical Components, Inc.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 03/18/02

2. Name and address of receiving party(ies)

Name: Kionix, Inc.

Internal Address:

Street Address: 36 Thornwood Drive

City: Ithaca State: NY Zip: 14850

Additional name(s) & address(es) attached? ☐ Yes ☐ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s) 6,454,938

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brown &amp; Michaels PC

Internal Address:

Street Address: 400 M&amp;T Bank Building.

118 North Tioga Street

City: Ithaca State: NY Zip: 14850

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

02-0910

DO NOT USE THIS SPACE

9. Signature.

Michael F. Brown

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents: 4

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

04/09/2003 6T0H11 00000054 6454938

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DEC 09, 2003

T41700

4-2-03

MEMORANDUM REGARDING ASSIGNMENT OF PATENT  
U.S. Patent Number 6,454,938

This Memorandum Regarding Assignment of Patent is hereby submitted to the U.S. Patent and Trademark Office in order to record the transfer by a separate Patent Agreement as of March 18, 2002 of all right, title and interest in U.S. Patent Number 6,454,938 entitled "Integrated Monolithic Microfabricated Electrospray and Liquid Chromatography System and Method" (the "Patent"). Relevant background of that assignment is as follows:

- An assignment was previously filed in the USPTO, recorded at Reel 011460 / Frame 0741, assigning the application upon which the Patent was issued ("the Application") from the inventors, James E. Moon, Timothy J. Davis and Gregory J. Galvin, to "Kionix, Inc."
- As of December 29, 2000, the "Kionix, Inc." that was named in the assignment merged with and into Calient Networks, Inc., a Delaware corporation with offices at 5853 Rue Ferrari, San Jose, CA 95138. The "Kionix, Inc." in the assignment ceased to exist as a result of that merger, and the Application became owned by Calient Networks, Inc.
- Calient Networks, Inc. formed a wholly-owned subsidiary, Calient Optical Components, Inc., a Delaware corporation with offices at 22 Thornwood Drive, Ithaca, NY 14850 ("ASSIGNOR"), and transferred its rights in the Application to ASSIGNOR pursuant to a Contribution and Assumption Agreement between Calient Networks, Inc. and ASSIGNOR effective December 29, 2000.
- The Patent issued on June 12, 2001, while ASSIGNOR held title to the Application.
- ASSIGNOR transferred its rights in the Patent to Kionix, Inc., a Delaware corporation with its principal place of business at 36 Thornwood Drive, Ithaca, NY 14850 ("ASSIGNEE") by Patent Agreement between those parties effective March 18, 2002. ASSIGNEE is a different corporation than the initial assignee of the Application, but has the same name (acquired after "Kionix, Inc." ceased to exist as a result of the above-referenced merger).
- There have been no further assignments of the Patent by ASSIGNEE.

As a result of the foregoing, ASSIGNEE "Kionix, Inc." should be designated as the proper assignee of the Patent on the records of the U.S. Patent and Trademark Office.

Calient Optical Components, Inc.

Kionix, Inc.

By: William Zarella  
Name: William Zarella  
Title: VP + CFO

By: Michael D. Pinnisi  
Name: Michael D. Pinnisi  
Title: Secretary + General Counsel

**ATTACH MEMORANDUM REGARDING ASSIGNMENT OF PATENT AND  
TRANSMITTAL**



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
Filed : December 21, 2000  
For : INTEGRATED MONOLITHIC  
MICROFABRICATED  
ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:

STATEMENT OF JAMES E. MOON

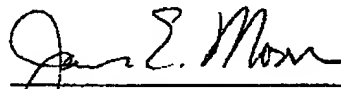
Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, JAMES E. MOON, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date:

10/13/03

  
James E. Moon



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
Filed : December 21, 2000  
For : INTEGRATED MONOLITHIC  
MICROFABRICATED  
ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:


STATEMENT OF TIMOTHY J. DAVIS

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, TIMOTHY J. DAVIS, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date: 10.17.03

  
\_\_\_\_\_  
Timothy J. Davis



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
Filed : December 21, 2000  
For : INTEGRATED MONOLITHIC  
MICROFABRICATED  
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METHOD

Examiner:

Art Unit:

STATEMENT OF GREGORY J. GALVIN

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, GREGORY J. GALVIN, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date: 10.17.07

  
\_\_\_\_\_  
Gregory J. Galvin



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
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CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:

STATEMENT OF THOMAS R. KURZ  
ON BEHALF OF ADVION BIOSCIENCES, INC.

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

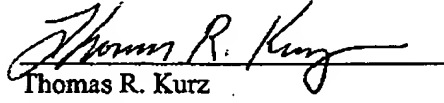
Dear Sir:

1. I, Thomas R. Kurz, am Chief Operating Officer of Advion BioSciences, Inc. located at 15 Catherwood Road, Ithaca, New York 14850 and have the authority to act on behalf of Advion BioSciences, Inc.
2. As set forth in the assignment form (copy enclosed), certain co-inventors of the above-identified patent have assigned their interests in the same to Advion BioSciences, Inc. It is my understanding that the assignment from Gary A. Schultz, Thomas N. Corso, and Stephen Lowes to Advion BioSciences, Inc. is being filed in the U.S. Patent and Trademark Office at the same time as this paper.
3. Advion BioSciences, Inc., as a co-assignee, agrees to the requested correction of inventorship as set forth in the accompanying Petition for Correction of Inventorship in Patent under 37 C.F.R. § 1.324(a).



4. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 17 OCTOBER 2003

  
Thomas R. Kurz  
Chief Operating Officer  
Advion BioSciences, Inc.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
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METHOD

Examiner:

Art Unit:


STATEMENT OF GARY A. SCHULTZ

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, GARY A. SCHULTZ, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date: 16 Oct 2003

  
\_\_\_\_\_  
Gary A. Schultz



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
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ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:

STATEMENT OF THOMAS N. CORSO

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, THOMAS N. CORSO, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date:

16 October 03

  
Thomas N. Corso



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.  
Patent No. : 6,454,938  
Issued : September 24, 2002  
Serial No. : 09/745,891  
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For : INTEGRATED MONOLITHIC  
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CHROMATOGRAPHY SYSTEM AND  
METHOD

Examiner:

Art Unit:

STATEMENT OF STEPHEN LOWES

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, STEPHEN LOWES, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date: 17 Oct 2003

  
Stephen Lowes

# ASSIGNMENT

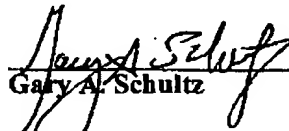
WHEREAS, We, Gary A. Schultz, a citizen of the United States, residing at 520 Warren Place, Ithaca, New York 14850, Thomas N. Corso, a citizen of the United States, residing at 622 Scofield Road, Groton, New York 13073; and Stephen Lowes, a citizen of the United Kingdom, residing at 418 Ferguson Road, Freeville, New York 13068, have invented certain new and useful improvements in **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** for which an application has been filed for Letters Patent in the United States, which issued as U.S. Patent No. 6,454,938 on September 24, 2002;

AND WHEREAS, Advion BioSciences, Inc., with its principal place of business at 15 Catherwood Road, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application and Patent:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Advion BioSciences, Inc., its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said Advion BioSciences, Inc., its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

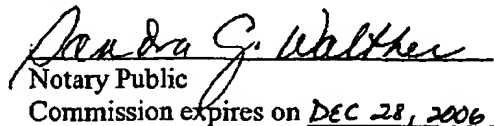
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 13 day of October, 2003.

  
Gary A. Schultz

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 13 day of OCTOBER, 2003, before me personally came the above-named Gary A. Schultz, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

**SANDRA G. WALTHER**  
Notary Public, State of New York  
No. 6018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 20 06

  
Notary Public  
Commission expires on DEC 28, 2006

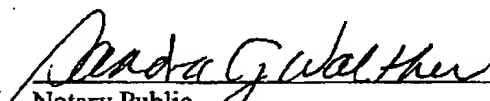
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day  
of October, 2003.

  
Thomas N. Corso

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003, before me personally came the  
above-named Thomas N. Corso, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER  
Notary Public, State of New York  
No. 6018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 20 06

  
Notary Public  
Commission expires on DEC. 28, 2006.


IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day  
of OCTOBER, 2003.

  
Stephen Lowes

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003 before me personally came the  
above-named Stephen Lowes, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER  
Notary Public, State of New York  
No. 6018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 20 06

  
Notary Public  
Commission expires on DEC. 10, 2006.

## ASSIGNMENT

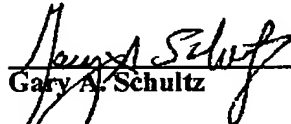
WHEREAS, We, **Gary A. Schultz**, a citizen of the United States, residing at 520 Warren Place, Ithaca, New York 14850, **Thomas N. Corso**, a citizen of the United States, residing at 622 Scofield Road, Groton, New York 13073; and **Stephen Lowes**, a citizen of the United Kingdom, residing at 418 Ferguson Road, Freeville, New York 13068, have invented certain new and useful improvements in **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** for which an application has been filed for Letters Patent in the United States, which issued as U.S. Patent No. 6,454,938 on September 24, 2002;

AND WHEREAS, **Advion BioSciences, Inc.**, with its principal place of business at 15 Catherwood Road, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application and Patent:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **Advion BioSciences, Inc.**, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **Advion BioSciences, Inc.**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said **Advion BioSciences, Inc.**, its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **Advion BioSciences, Inc.**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

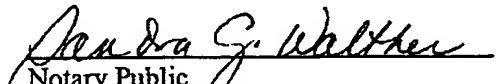
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 13 day of October, 2003.

  
\_\_\_\_\_  
Gary A. Schultz

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 13 day of OCTOBER, 2003, before me personally came the above-named **Gary A. Schultz**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

**SANDRA G. WALTHER**  
Notary Public, State of New York  
No. 0018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 2006

  
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Notary Public  
Commission expires on DEC 28, 2006.

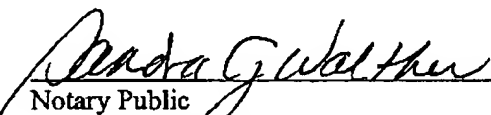
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day  
of October, 2003.

  
Thomas N. Corso

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003, before me personally came the  
above-named Thomas N. Corso, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER  
Notary Public, State of New York  
No. 6018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 20 06

  
Notary Public  
Commission expires on DEC. 28, 2006.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day  
of OCTOBER, 2003.

  
Stephen Lowes

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003 before me personally came the  
above-named Stephen Lowes, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER  
Notary Public, State of New York  
No. 6018112  
Qualified in Tompkins County  
Commission Expires Dec. 28, 20 06

  
Notary Public  
Commission expires on DEC. 10, 2006.



**ASSIGNMENT OF PATENT BY KIONIX, INC.**

WHEREAS, Kionix, Inc., a Delaware corporation ("**Kionix**") and Advion Biosciences, Inc., a Delaware corporation ("**Advion**"), have entered into a certain License Agreement, dated October 17, 2003 (the "**License Agreement**");

WHEREAS, Kionix owns certain rights by assignment in and to an issued U.S. patent entitled "Integrated Monolithic Microfabricated Electrospray and Liquid Chromatography System and Method," issued on September 24, 2002 and having Patent No. 6,454,938 (the "**Patent**"); and

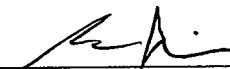
WHEREAS, Kionix and Advion have agreed pursuant to the License Agreement that Kionix shall assign to Advion a full, joint and undivided right, title and interest in and to all of Kionix's right, title and interest in and to the Patent;

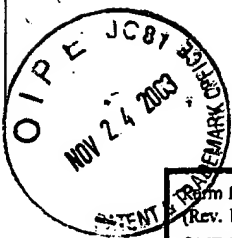
NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged by Kionix, Kionix does hereby sell, assign, transfer and set over unto Advion, a full, joint and undivided right, title and interest in and to all of Kionix's right, title and interest in and to the Patent and all reissues, substitutions, renewals, substitutions, confirmations, supplementary protection certificates, and term extensions thereof.

This Assignment shall not alter or otherwise affect the rights and obligations of the Parties under the License Agreement, and shall be made part of, and subject to the terms of, the License Agreement.

IN WITNESS WHEREOF, Kionix has executed this Assignment effective as October 17, 2003.

**KIONIX, INC.**

By   
\_\_\_\_\_  
Gregory J. Galvin, Ph.D.  
President and CEO



Form PTO-1595 (Rev. 10/02) OMB No. 0651-0027 (exp. 6/30/2005) Tab settings ⇨ ⇨ ⇨ ▼ ▼ ▼ ▼ ▼ ▼ ▼		RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.					
1. Name of conveying party(ies): Gary A. Schulz Thomas N. Corso Stephen Lowes  Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			2. Name and address of receiving party(ies) Name: <u>Advion BioSciences, Inc.</u>  Internal Address: _____    Street Address: <u>15 Catherwood Road</u>   City: <u>Ithaca</u> State: <u>NY</u> Zip: <u>14850</u>  Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____  Execution Date: <u>10/13/03 and 10/10/03</u>					
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) _____ B. Patent No.(s) <u>6,454,938</u>  Additional numbers attached? <input type="checkbox"/> Yes <input type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>Brown &amp; Michaels, PC</u>  Internal Address: _____    Street Address: <u>400 M &amp; T Bank Building</u> <u>118 North Tioga St.</u>  City: <u>Ithaca</u> State: <u>NY</u> Zip: <u>14850</u>			6. Total number of applications and patents involved: <u>1</u>  7. Total fee (37 CFR 3.41).....\$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account  8. Deposit account number: <u>02-0910</u>		
DO NOT USE THIS SPACE					
9. Signature.  Michael F. Brown <u>[Signature]</u> <u>11-8-03</u> Name of Person Signing Signature Date  Total number of pages including cover sheet, attachments, and documents: <u>2</u>					

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231